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PTO/SB/05 (1/98)  
Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-1936

First Inventor or Application Identifier: Shunpei YAMAZAKI et al.

Title: SEMICONDUCTOR DEVICE AND METHOD FOR FORMING  
THE SAME

Express Mail Label No.  02/23/99

APPLICATION ELEMENTS		ADDRESS TO:
See MPEP chapter 600 concerning utility patent application contents.		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. [X] Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original, and a duplicate for fee processing)</i>		6. [ ] Microfiche Computer Program (Appendix)
2. [X] Specification <i>(preferred arrangement set forth below)</i> - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure		7. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. [ ] Computer Readable Copy b. [ ] Paper Copy (identical to computer copy) c. [ ] Statement verifying identity of above copies
3. [X] Drawing(s) (35 USC 113) Total Sheets [16]		8. [ ] Assignment Papers (cover sheet & document(s))
4. [X] Oath or Declaration a. [ ] Newly executed (original or copy) b. [X] Copies of original and substitute from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional/ with Box 17 completed)</i> [Note Box 5 below] i. [ ] DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).		9. [ ] 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i> [ ] Power of Attorney
5. [X] Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.		10. [ ] English Translation Document <i>(if applicable)</i>
17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment: Divisional of prior application Serial No. 08/757,616 filed November 29, 1996; which itself is a continuation of application Serial No. 08/085,931, filed July 6, 1993, which is a continuation-in-part of Serial No. 07/853,690, filed March 17, 1992, now U.S. Patent No. 5,313,076.		11. [X] Information Disclosure Statement [ ] Copies of IDS (IDS)/PTO-1449 Citations
Prior application information: Examiner: R. Booth		12. [X] Preliminary Amendment
		13. [X] Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>
		14. [ ] *Small Entity [ ] Statement filed in prior application, Statement(s) Status still proper and desired (PTO/SB/09-12)
		15. [ ] Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>
		16. [X] Other: Notice of Change of Address
*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.		

## 18. CORRESPONDENCE ADDRESS

[ ] Customer Number or Bar Code Label

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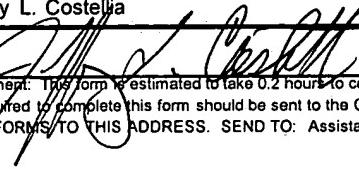
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Name: Jeffrey L. Costellia  
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Name: Jeffrey L. Costellia

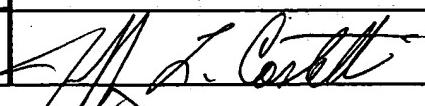
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Signature 

Date: February 23, 1999

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FEE TRANSMITTAL		Complete If Known						
		Application Number						
<p><i>Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i></p>		Filing Date	February 23, 1999					
		First Named Inventor	Shunpei YAMAZAKI et al.					
		Examiner Name	R. Booth					
		Group Art Unit	2812					
		TOTAL AMOUNT OF PAYMENT	\$1,228.00	Attorney Docket Number	0756-1936			
METHOD OF PAYMENT (check one)			FEE CALCULATION (continued)					
			3. ADDITIONAL FEES					
			Large Entity	Small Entity				
1. [X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:			Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
Deposit Account No. 19-2380 Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC			105	130	205	65	Surcharge-late filing fee or oath	
[X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17			127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
[ ] Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance			139	130	139	130	Non-English specification	
[X] Payment Enclosed: [X] Check    [ ] Money Order    [ ] Other			147	2,520	147	2,520	For filing a request for reexamination	
			112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
			113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
			115	110	215	55	Ext for reply within first month	
			116	380	216	190	Ext for reply within second mth	
			117	870	217	435	Ext for reply within third mth	
			118	1,360	218	680	Ext for reply within fourth mth	
			128	1,850	228	925	Ext for reply within fifth month	
			119	300	219	150	Notice of Appeal	
			120	300	220	150	Filing brief in support of appeal	
			121	260	221	130	Request for Oral Hearing	
			138	1,510	138	1,510	Petition to institute public use proceeding	
FEE CALCULATION								
1. BASIC FILING FEE								
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid			
101	760	201	380	Utility filing fee	[760]			
106	310	206	155	Design filing fee	[ ]			
107	480	207	240	Plant filing fee	[ ]			
108	760	208	380	Reissue filing fee	[ ]			
114	150	214	75	Provisional filing fee	[ ]			
SUBTOTAL (1)					\$760.00			
2. EXTRA CLAIM FEES								
Total Claims			Extra Claims		Fee from Below	Fee Paid		
33 - 20** = 13			X \$18.00 =		\$234.00			
Independent Claims			6 - 3** = 3		X \$78.00 =	\$234.00		
Multiple Dependent Claims					=			
** or number previously paid, if greater. For Reissues, see below								
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid			
103	18	203	9	Claims in excess of 20				
102	78	202	39	Independent claims in excess of 3				
104	280	204	130	Multiple dependent claim				
109	78	209	39	**Reissue Independent claims over original patent				
110	18	210	9	**Reissue claims in excess of 20 and over original patent				
SUBTOTAL (2)					\$468.00			
*Reduced by Basic Filing Fee Paid								
						SUBTOTAL (3)		
						\$		
SUBMITTED BY						Complete (if applicable)		
Typed or Printed Name	Jeffrey L. Costellia					Reg. Number	35,483	
Signature				Date	February 23, 1999		Deposit Account User ID	19-2380

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